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## CHAPTER EIGHT

REPORT ENDORSEMENTS

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This chapter describes Hazard Report and SIR endorsements, explains who submits endorsements, and when, how, and why they are submitted.

801. GENERAL

Endorsing Hazard Reports and SIRs is an important step in hazard elimination. Endorsers have the opportunity to lend their broader perspective and authority to the process of completing recommended corrective actions. Prompt, comprehensive endorsements are the hallmark of a strong Command Aviation Safety Program.

802. PURPOSE OF ENDORSEMENTS

Hazard Report and SIR endorsements help eliminate the hazards those reports describe. They convey the endorser's position relative to matters contained in the reports.

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803. REVIEW OF REPORTS AND ENCLOSURES

These endorsements require careful review of the basic reports and any prior endorsements. Any endorser who finds an investigation incomplete, or a Hazard Report or SIR inadequate, must act to reopen the investigation and resubmit the report. The endorser must reconvene the AMB and direct them to address the specific areas of concern. This must be done by naval message infoing all concerned. Endorsers must then endorse the modified SIR message, not the SIR package. Any endorser who needs copies of specific SIR enclosures may request them from the AMB'S appointing authority.

804. SUBMISSION CRITERIA

Hazard and Mishap Reports containing severe hazards must be endorsed. Additionally, endorsements are required for:

a. All Class A SIRs - through the chain of command and the NAVSAFECEN.

b. All other Hazard or SIRs until every recommendation requiring action has been addressed through:

(1) The corrective action agency when the corrective action agency is inside the endorsing chain.

(2) Or, the controlling custodian - in those cases where the corrective action agency is outside the endorsing chain.

c. When directed by higher authority.

d. Recommendation(s) for corrective action by higher authority require an endorsement or official message reply from that command. (See chapter 9.) At a minimum, the corrective action agency must acknowledge the tasking within 30 days of the controlling custodian's endorsement.

e. All Air Traffic Control Hazard Reports that contain severe hazards must be endorsed by the appropriate Type Commander in the capacity of executive agent for air traffic control purposes.

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805. ORIGINATOR

Hazard Reports and Safety Investigation Reports. When required by paragraph 804, commands, both inside and outside the chain of command which have been tasked with corrective action, must respond to action assigned in hazard reports and SIRs.

a. Normal Endorsement Chain. The normal endorsement chain mirrors the operational chain of command from the reporting custodian to the controlling custodian. Operational Commanders who also have a task organization title (such as CTF 60) must use their administrative title (COMCARGRU FOUR, COMCRUDESGRU EIGHT) when endorsing aircraft SIRs.

b. Exceptions to the Endorsement Chain. Controlling custodians determine the endorsement chain. Although they may modify it at their discretion, there are certain requirements that must be met. The endorsing chain shall include:

(1) The reporting custodians of all aircraft involved.

(2) The CO of a Navy or Marine Corps airfield, ship, or facility, when the command was involved in the mishap. They may comment only on those areas where their command was involved.

(3) The CO of the aircrew involved in a mishap when that CO is not the reporting custodian of aircraft involved.

(4) If a mishap involves two or more aircraft from different reporting custodians, the controlling custodian of the senior reporting custodian involved will prescribe the endorsing chain.

(5) The controlling custodian of the aircraft involved when the controlling custodian is not in the operational chain of command.

(6) Commanding Officers of Naval Aviation Depots will endorse SIRs (other than their own) only when the depot is named as a causal factor. Depot COs may comment only on those areas where their command was involved and not on other causal factors of the mishap.

(7) The parent Marine Air Group (MAG) and Marine Air Wing (MAW) of Marine reporting custodians when the mishap squadron is embarked with a Marine Expeditionary Unit (MEU)

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Special Operations Command (SOC). The endorsing chain for embarked, deployed USMC reporting custodians will include the parent MAG and MAW of the mishap squadron. The endorsement must come from the parent MAG or MAW if the aircraft involved is from a detachment assigned to the reporting custodian only for the duration of the embarkation.

c. The NAVSAFECEN will coordinate the endorsements outside the DON.

d. Controlling custodians are responsible for the timeliness of endorsements.

#### 806. RISK ASSESSMENT CODES

Endorsers who disagree with a previously assigned Risk Assessment Code may restate the RAC in their endorsement. Appendix B explains RACs.

#### 807. DEADLINES

The first endorsement is due 7 days after the date of the report. Sequential endorsers also have 7 days to complete and promulgate their endorsements after their predecessors have published theirs. Extensions are available from the controlling custodian (with info copies to COMNAVSAFECEN.) The controlling custodians have 14 days to complete and publish their endorsements. Navy Commands -- outside the endorsing chain -- assigned corrective actions must submit a message response, info all addressees, within 30 days of the controlling custodian's endorsement. Commands subordinate to the controlling custodian shall submit a message response, info all addressees, on all corrective action assigned them. Send this message within 30 days of the date of their message, the controlling custodian's endorsement, or the last endorsement in the endorsing chain.

#### 808. METHOD OF SUBMISSION

Use military electronic communications facilities to send Hazard Report and SIR endorsement messages.

#### 809. DISTRIBUTION

Hazard Report endorsement distribution may differ from the authorized distribution for SIR endorsements. Do not use or copy the Hazard Report distribution lists for the SIR messages.

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a. Hazard Report Endorsements. There are no limitations on the distribution of Hazard Report endorsements. Send them to the Hazard Report recipients and any others considered necessary.

b. Safety Investigation Report Endorsements. Address SIR endorsements to authorized SIR recipients and endorsers only.

(1) Only CNO, CMC and COMNAVSAFECEN may readdress SIR endorsements to activities outside the Navy. Only aircraft controlling custodians in the endorsing chain of the report in question may readdress SIR endorsements and may do so only then when it is required for further endorsement or remedial action required by the report.

(2) Do not distribute SIR endorsements to any command not authorized by this instruction.

(3) Use Standard Subject Identification Code (SSIC) 3752 on all SIR Messages and their endorsements so the receiving commands may limit internal distribution. Commanding officers must insure only authorized personnel receive SIRs and their endorsements. Only the Commanding Officer may authorize copying an SIR.

#### 810. NONPRIVILEGED AND PRIVILEGED STATUS

a. Hazard Report Endorsements. While they may contain deliberative safety information, Hazard Report endorsements are not privileged.

b. Safety Investigation Report Endorsements. SIR endorsements are a part of the SIR. They are privileged, and shall be used only for safety purposes. As a result, SIR endorsers are free to provide complete, open and forthright information, opinions and recommendations regarding the reported mishap.

#### 811. SPECIAL HANDLING

Hazard Report endorsements do not require special handling, except that required of FOUO documents.

a. Safety Investigation Report Endorsements. SIR endorsements are privileged and require special handling to limit use to safety purposes only. Use common sense to determine exactly what may be appropriate. For example:

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(1) It would not be appropriate to put them in reading racks or post them on bulletin boards.

(2) On the other hand, passing SIR endorsements from person to person, or from office to office in file folders is appropriate. It ensures their contents are protected and disclosure limited to specific individuals who require knowledge of their contents for safety purposes.

812. INDEPENDENCE OF ENDORSEMENTS

a. Hazard Report Endorsements. Endorsements or extracts from Hazard Reports may be appended to or included in other reports.

b. Safety Investigation Report Endorsements

(1) Endorsements or extracts from SIR endorsements shall not be appended to, or included in, JAG Manual Investigation Reports, nor any other reports. Do not include Navy JAG as an addressee on SIR endorsements.

(2) To prevent any inference of association with disciplinary or administrative action, SIR endorsements shall not include any reference to disciplinary action, Naval Aviator or Naval Flight Officer Evaluation Boards (USN), Field Flight Performance Boards (USMC), or any other administrative action in connection with the mishap report being endorsed.

813. FOR OFFICIAL USE ONLY

Hazard Report and SIR endorsements are FOUO. See SECNAVINST 5720.42F for instructions on the handling of FOUO documents.

814. SECURITY CLASSIFICATION

Normally, endorsements are unclassified. If any portion of the endorsement warrants classification, omit that information and insert the word "classified" in its place. If a meaningful endorsement is impossible using this technique, submit a classified endorsement.

815. MESSAGE PRECEDENCE

Submit Hazard Report and SIR endorsements via routine message.

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816. MINIMIZE

Hazard Report and SIR endorsements are exempt from the MINIMIZE provisions of ACP-121 (D) US SUPP (B-1) (NOTAL).

817. ENDORSEMENT FORMATS

a. Format. Submit Hazard Report and SIR endorsements in the following format:

(1) Addressees. See paragraph 809.

(2) Text. Except where noted below, the content of Hazard Reports and SIR endorsements is left to the discretion of the originator.

(a) Repeat all material double underlined in the formats below word for word in the text of the endorsement.

(b) Use the endorsement guide in paragraph 818 in formulating the content of endorsements.

(c) The amount of the information provided in a Hazard Report or SIR endorsement will vary depending on the circumstances surrounding the Hazard Report or SIR. An endorsement that agrees with all conclusions and recommendations may contain but a single page. Others, which take exception to the conclusions or recommendations, may take several pages to complete.

(d) Refer to Navy Tactical Publication NTP 3, Telecommunications Users Manual, for the latest message format guidelines. Enter most of a Hazard Report in the remarks section of a GENADMIN message. Exercise care to follow all US Message Text Format (USMTF) rules.

(3) Headings. Place one of the following headings at the beginning of the text:

(a) Hazard Report Endorsements

BT

UNCLAS FOUO //N03750// THIS IS PART OF A GENERAL USE NAVAL AVIATION HAZARD REPORT (-UAV hazards involving UAVs (endorsing command) ENDORSEMENT OF (originator, report serial number, date of occurrence, model/series aircraft or UAV, buno, as applicable)/REPORT SYMBOL OPNAV 3750-19

MSGID/GENADMIN/originator/message serial number (not report serial number)/month//

SUBJ/AVIATION HAZREP //

NOTE: USE SUBJECT LINE OF APPROPRIATE TYPE OF HAZARD. SEE CHAPTER 4.

REF/A/DOC/OPNAVINST 3750.6R/-//

REF/B/(Other references as appropriate)//

NARR/REF A IS THE NAVAL AVIATION SAFETY PROGRAM. REF C IS . . .  
. . . /THIS IS A GENERAL USE REPORT.//

POC/(name of primary point of contact to answer inquiries about the report)/(rank)/(code)/(location)/TEL:(phone number or "deployed")/TEL:(phone number)//

RMKS/1. THIS ENDORSEMENT CONCERNS A (routine or severe) HAZARD TO NAVAL AVIATION (-UAV hazards involving UAV's only). RAC (1, 2, ETC.). If the criteria in paragraph 804 requires further endorsement of the report, include the following phrase: (next endorser) ENDORSEMENT REQUESTED IAW REF A. Otherwise include the phrase FURTHER ENDORSEMENT NOT REQUIRED. SUMMARY: Succinctly summarize the content of the Hazard Report being endorsed.

(b) Safety Investigation Report Endorsements

BT

UNCLAS FOUO //N03752// THIS IS PART OF A NAVAL AVIATION SAFETY INVESTIGATION REPORT (-UAV mishaps involving UAV's only)(endorsing command) ENDORSEMENT OF (reporting custodian, mishap classification, mishap serial number, date of occurrence, model/series aircraft or UAV, buno)/REPORT SYMBOL OPNAV 3752-1

MSGID/GENADMIN/originator (reporting custodian)/message serial number (not report serial number)/month//

SUBJ/AVIATION SIR //

REF/A/DOC/OPNAVINST 3750.6R/-//

REF/B/DOC/JAGINST 5800.7C/-//

REF/C/(Other references as appropriate)//

NARR/REF A IS THE NAVAL AVIATION SAFETY PROGRAM. REF B IS THE NAVY JAG MANUAL. REF C IS . . . .//



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POC/(name of primary point of contact to answer inquiries about the SIR)/(rank)/(code)/(location)/TEL:(phone number or "deployed")/TEL:(phone number)//

RMKS/\*\*\*\*\*

FOR OFFICIAL USE ONLY

THIS IS A PRIVILEGED, LIMITED-USE, LIMITED-DISTRIBUTION, SAFETY INVESTIGATION REPORT. UNAUTHORIZED DISCLOSURE OF THE INFORMATION IN THIS REPORT OR ITS SUPPORTING ENCLOSURES BY MILITARY PERSONNEL IS A CRIMINAL OFFENSE PUNISHABLE UNDER ARTICLE 92, UNIFORM CODE OF MILITARY JUSTICE. UNAUTHORIZED DISCLOSURE OF THE INFORMATION IN THIS REPORT OR ITS SUPPORTING ENCLOSURES BY CIVILIAN PERSONNEL WILL SUBJECT THEM TO DISCIPLINARY ACTION PURSUANT TO CIVILIAN PERSONNEL INSTRUCTION 752. THIS REPORT MAY NOT BE RELEASED, IN WHOLE OR IN PART, EXCEPT BY THE COMMANDER NAVAL SAFETY CENTER.

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1. THIS ENDORSEMENT CONCERNS A (routine or severe) HAZARD TO NAVAL AVIATION (-UAV mishaps involving UAVs only). If the criteria in paragraph 804 requires endorsement of the report, include the following phrase: (NEXT ENDORSER) ENDORSEMENT REQUESTED IAW REF A; otherwise, include the phrase FURTHER ENDORSEMENT NOT REQUIRED. SUMMARY: Succinctly state the nature of the mishap being endorsed, to include a terse description of the outcome of the mishap. For example, "Aircraft on low level ingested large bird into left engine, recovered safely." or "Aircraft crashed into water following aborted shipboard landing; 6 pax/1 crew fatal."

BACKGROUND: (Required for final endorsements; otherwise optional). The final endorser will provide an executive summary level discussion of the mishap similar to those contained in COMNAVSAFECEN Class A final endorsements. This detailed summary will provide the reader with an understanding of all relevant conditions and events leading up to and immediately following the mishap. The manner in which final determined causal factors influenced the chain of events and missed opportunities for intervention should be intuitively apparent from the presentation. While similar to the mishap narrative in paragraph 1.B. of the Mishap Safety Investigation Report, this discussion will reflect the changes in mishap analysis and conclusions made during the endorsement process as ultimately determined by the final endorser. This presentation will be entered into the safety database as the Naval Safety Center's primary narrative discussion of the mishap.

818. SIR Endorsement Guide. Use the following guide to draft endorsements. While endorsements are not as extensive as the

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SIR, endorsers must form and clearly express their disagreements in the same manner. Discuss all such disagreements or amplifications thoroughly in Paragraph 2 of the endorsement. If you change the previous endorsers report use Paragraph 3 to list all causal factors, including those unchanged. If you make no changes the endorsement closes with the CO's comments in Paragraph 3. Review paragraph 607d on deliberations, analysis and causal factors, conclusions, and recommendations, before writing your endorsements.

a. No Changes to the SIR. The endorser is endorsing the report as last modified. Use the following format if you agree with the report severity classifications and all the conclusions and recommendations of the previous endorser.

2. IAW REF A, THE SAFETY INVESTIGATION REPORT REF (XX), (AND ALL ENDORSEMENTS, REFS (XX) THROUGH (XX), if applicable) HAVE BEEN REVIEWED. CONCUR IN THE CONCLUSIONS AND RECOMMENDATIONS AS MODIFIED BY SUBSEQUENT ENDORSER(S) (as applicable).

3. COMMANDING OFFICER'S COMMENTS.

b. Changes to the SIR. Use the following format if you disagree with the severity classification, the conclusions, or the recommendations of previous endorsee. To be sure you address all issues, review the SIR and any endorsements thoroughly. Although you are endorsing the last modification you are not limited to discussing only those causal factors or recommendations. Paragraph 2 is your opportunity to add to, restate or delete any portion of the previous endorsement. Complete all arguments in Paragraph 2 so Paragraph 3 is a "clean" list of causal factors for the next endorser. Use Paragraph 2 to comment on only the portion of the previous endorsement with which you did not agree or you wish to clarify or amplify. Each endorser will comment on the ORM analysis in the SIR and previous endorsements.

2. IAW REF A, THE SAFETY INVESTIGATION REPORT REF (XX), (AND ALL ENDORSEMENTS, REFS (XX) THROUGH (XX), if applicable) HAVE BEEN REVIEWED. CONCUR IN THE CONCLUSIONS AND RECOMMENDATIONS (AS MODIFIED BY SUBSEQUENT ENDORSERS, if applicable) WITH THE FOLLOWING EXCEPTION(S):

A. REF (XX), PARA (XX, repeat the report severity, the terse description and RAC for conclusions, or the recommendation, as applicable). DO NOT CONCUR. (State the disagreement and a complete argument for change. If you change the severity, a conclusion, or a recommendation, include the

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following phrase) RESTATE AS: (State the new report severity, the new terse description and RACs for conclusions, or the new recommendation. If you delete a conclusion or a recommendation, include the following phrase) DELETE THE (conclusion or recommendation) FROM THE REPORT.

B. Continue as required.

c. New additions to the SIR. If the endorser wishes to add new conclusions or recommendations, use the following format.

2. IAW REF A, THE SAFETY INVESTIGATION REPORT REF (XX), (AND ALL ENDORSEMENTS, REFS (XX) THROUGH (XX), if applicable) HAVE BEEN REVIEWED. CONCUR IN THE CONCLUSIONS AND RECOMMENDATIONS (AS MODIFIED BY SUBSEQUENT ENDORSERS, if applicable) WITH THE FOLLOWING ADDITIONS:

A. (CAUSAL FACTOR or RECOMMENDATION): State the new causal factor or recommendation along with a complete argument. With any new causal factors include a complete analysis in the SIR paragraph 11 format, including causal factor elements (WHO/WHAT/WHY or COMP/MODE/AGENT)). (See paragraph 715.) New causal factors must have a corrective action (recommendation). Base your new recommendations on causal factors of the mishap.

B. Continue as required.

d. Restatement of mishap causal factors. If you make changes or additions to any causal factors, RAC, or recommendations, you must restate, for clarity, all causal factors and recommendations of the SIR. Later endorsers will address the causal factors and recommendations as modified by you. Use the following formats, as required:

3. CAUSAL FACTORS OF THE MISHAP: Repeat all accepted causal factors (including THOSE YOU LEFT unmodified) as they now appear following the modifications and additions you addressed in paragraph 2. Paragraph 3 shall be a complete list of causal factors for the next endorser. Do not include the following: Concur, Do Not Concur, Restate, Delete, or Ref xx.

A. CAUSAL FACTORS OF THE MISHAP:

(1) (Insert appropriate term) FACTOR - (Repeat terse description of factor.) RAC XXX (Insert appropriate RAC). ASSOCIATED RECOMMENDATIONS: (provide paragraph numbers for associated corrective actions.)

(2) Continue as required, listing all causal factors as now modified.

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4. CAUSAL FACTORS CAUSING OTHER DAMAGE OR INJURY:

A. THE CAUSE FACTORS OF OTHER DAMAGE OR INJURY ARE:

(1) (Insert appropriate term) FACTOR - (Repeat terse description of factor.) RAC XXX (Insert appropriate RAC). ASSOCIATED RECOMMENDATIONS: (provide paragraph numbers for associated corrective actions.)

(2) Continue as required, listing all causal factors as now modified.

5. RECOMMENDATIONS. (Repeat all accepted recommendations, both those you changed and those you left unmodified, in the following format.)

A. FOR (action agency): (Note: List action agencies senior to junior.)

(1) (List all recommendations for this action agency.) STATUS: Each endorser shall attempt to determine the current status of the corrective action. If action is still incomplete, state "OPEN." If action is complete state "ACTION COMPLETE. REF (XX) REFERS." CLOSED.

B. FOR (List all subsequent action agencies and recommendations.)

6. COMMANDING OFFICER'S COMMENTS.

819. Hazard Report Endorsement Guide. Use the following guide while drafting your endorsements. While endorsements need not be as extensive as Hazard Reports, endorsers must form and clearly express their disagreements in the same manner. Endorsers should review paragraph 315 on analysis, conclusions, and corrective action, before writing their endorsements.

a. No Changes to the Hazard Report. The endorser is endorsing the report as last modified. If the endorser agrees with the report severity classifications and all conclusions and corrective action as stated by the previous endorsers use the following format.

2. IAW REF A, THE HAZARD REPORT, REF (XX), (AND ALL ENDORSEMENTS, REFS (XX) THROUGH (XX), if applicable) HAVE BEEN REVIEWED CONCUR IN THE CONCLUSIONS AND CORRECTIVE ACTIONS AS MODIFIED BY SUBSEQUENT ENDORSER(S) (as applicable).

3. COMMANDING OFFICER'S COMMENTS.

b. Changes to the Hazard Report. If the endorser disagrees with the severity classification, evidence, analysis, any conclusion, or any corrective action as stated by the

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previous endorser, use the following format. To ensure all issues are addressed, each endorser should review the Hazard Report and its endorsements. Although the endorser is reacting to the report as last modified there is no limit to what may be discussed in addition to those conclusions and recommendations. Paragraph 2 is your opportunity to add to, restate or delete any portion of the previous endorsement. Complete all arguments in Paragraph 2 so Paragraph 3 is a "clean" statement of evidence, analysis, conclusions and severity classification for the next endorser. Use Paragraph 2 to comment only the portion of the previous endorsement for which you do not agree or you wish to clarify or amplify.

2. IAW REF A, THE HAZARD REPORT REF (XX), (AND ALL ENDORSEMENTS, REFS (XX) THROUGH (XX), if applicable) HAVE BEEN REVIEWED. CONCUR IN THE CONCLUSIONS AND CORRECTIVE ACTIONS (AS MODIFIED BY SUBSEQUENT ENDORSERS, if applicable) WITH THE FOLLOWING EXCEPTION(S):

A. REF (XX), PARA (XX, repeat the report severity, the terse description and RAC for conclusions, or the corrective action, as applicable). DO NOT CONCUR. (State the disagreement and a complete argument for change. If you change the severity, a conclusion, or a corrective action, include the following phrase) RESTATE AS: (State the new report severity, the new terse description and RACs or the new corrective action. If you delete the severity, a conclusion, or a corrective action from the report, include the following phrase) DELETE THE (conclusion or corrective action) FROM THE REPORT.

B. Continue as required.

c. New additions to the Hazard Report. If the endorser wishes to add new conclusions or corrective actions, use the following format:

2. IAW REF A, THE HAZARD REPORT REF (XX), (AND ALL ENDORSEMENTS, REFS (XX) THROUGH (XX), if applicable) HAVE BEEN REVIEWED. CONCUR IN THE CONCLUSIONS AND CORRECTIVE ACTIONS (AS MODIFIED BY SUBSEQUENT ENDORSERS, if applicable) WITH THE FOLLOWING ADDITIONS:

A. (CONCLUSION or CORRECTIVE ACTION): (State the new conclusion or corrective action along with a complete argument. With any new conclusions include a complete analysis. New conclusions must have a corrective action. Base any new corrective actions on causal factors of the hazard.

B. Continue as required.

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d. Restatement of Changes or Additions to Hazard Report.  
If you make any changes or additions to any conclusion, RAC, or recommendation in the Hazard Report, you must restate for clarity all conclusions and corrective actions in the Hazard Report. Later endorser will address these conclusions and corrective actions as modified by you. Use the following formats:

3. CIRCUMSTANCES. (For Hazard Reports, add new explanation of exactly how the hazard could result in damage or injury. Paragraph 3 shall be a clean statement of evidence, analysis and severity of classification, conclusions for the next endorser. Do not include the following: Concur, Do Not Concur, Restate, Delete, or Ref xx.)

A. EVIDENCE AND ANALYSIS:

B. CONCLUSIONS:

4. CORRECTIVE ACTION. (Repeat all accepted corrective actions, both those you changed, and those you left unmodified, in the following format:)

A. FOR (action agency): (Note: List action agencies senior to junior.)

(1) (List all corrective actions for this action agency.) STATUS: (Each endorser shall attempt to determine the status of the corrective action. If action is still incomplete, state "OPEN". If action is complete for the corrective action, state "ACTION COMPLETE. CLOSED.")

B. FOR (List all subsequent action agencies and corrective actions.)

5. COMMANDING OFFICER'S COMMENTS. Endorser comments.

#### 819. AVIATION MISHAP ACCOUNTABILITY ABSOLUTION

Do not request absolution from aviation mishaps in the SIRs or their endorsements. Controlling custodians may grant absolution for safety award purposes and continuation of mishap-free flight hours for all classes of mishaps when the cause of the mishap was clearly beyond the control and responsibility of the reporting custodian. Controlling custodians may make a statement in the last paragraph of their SIR endorsement which justifies the absolution. In the interest of uniformity the following guidelines are established:

- Absolution is not authorized when cause of the mishap is undetermined.

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- Limit absolution for material failure to those cases where the reporting custodian had no opportunity to have an effect on the failure.